

COMPASS Contractor's User Manual



By

The Office of Architectural, Engineering and Construction Applications

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Note: Revisions are identified by a red bar in the left margin.

Section 1 COMPASS

1.1 Introduction to COMPASS

The objective of the COMPASS project is to provide CTDOT with project management processes that work in conjunction with a cloud-based digital Transportation Management Solution, utilizing Microsoft Commercial Off-the-Shelf Software (MCOTS) to manage the delivery of all capital projects. Specifically, this solution will improve quality and control over complex transportation projects by providing:

- Ball-In-Court project status
- Better collaboration and communication using SharePoint online
- Real-time project scheduling capabilities using MS Project
- Improved resource management
- Real-time project status dashboards
- Document control and content management
- Improved transparency and accountability
- Improved risk management

1.2 Document Submittal / Transmittal Application

At its conception, the Document Submittal / Transmittal application (S&T) was designed as an application to be used by construction staff to track and route Contractor submittals during the construction phase. Its purpose has since expanded to enable anyone to submit, track and store any document type during the construction phase. This application allows users to route documents for review or approval. One or more reviewers can perform a review in series or in parallel. Ball-In-Court statuses automatically update for tracking. Routing is performed using document attributes and a project approval matrix. Key benefits of the application include:

- One storage location for all documents on the cloud, accessible to anyone with an internet connection
- More transparent and efficient processes
- Automated Ball-In-Court statuses for tracking submittals
- Automated notifications, reminders, document version control, and storage
- Routing all project documents for review or approval
- Bluebeam Studio Session integrated for PDF digital review and application of Review and Action Stamps

Section 2 The S&T (Submittal/Transmittal) Application

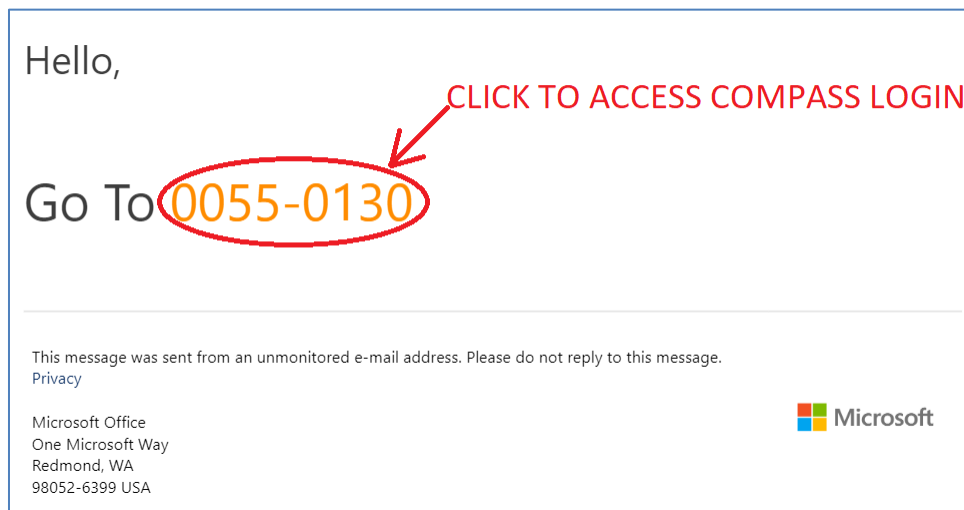
2.1 Accessing a Project Site

2.1.1 Contractor Invitation

Each Construction Project Manager (PM) or Project Engineer (PE) is responsible for inviting the Contractor to join the project site via email invitation.

To access the COMPASS project site:

1. Click on the link provided in the COMPASS email invitation. ***Never forward your email invitation to other users. If other individuals need access to a COMPASS project site, a request should be sent to the CTDOT Construction PM/PE. Note: Depending on the user's email settings, the email notification may go to the SPAM or Junk folder. If this occurs, email settings should be updated accordingly so future project-related emails route directly to the inbox.***



2. On the SharePoint Online invitation acceptance page,
 - a. Contractors with an existing work / company Office 365 account should click Organizational Account and log-in using their company Office 365 username and password.
 - b. Contractors without an existing Microsoft account should select “Create a Microsoft account” and follow the steps to quickly set-up a new, free account using the company email to which the invitation was sent.

Welcome to SharePoint Online

To accept your invitation, sign in with a Microsoft account or an account assigned to you by your organization. By signing in you allow Connecticut Department of Transportation to use your basic profile (name and email address) in accordance with their privacy statement. Connecticut Department of Transportation has not provided links to their terms for you to review. You can remove these permissions at myapps.microsoft.com.



Microsoft account

Sign in with the account you use for OneDrive, Xbox LIVE, Outlook.com, or other Microsoft services.



Organizational account

Sign in with the account provided by your work or school to use with Office 365 or other Microsoft services.

SELECT TO SIGN-IN USING AN EXISTING COMPANY ACCOUNT. USE THE SAME USER NAME AND PASSWORD.

Don't have either account? [Create a Microsoft account, it's quick and easy!](#)

SELECT TO CREATE A NEW, FREE ACCOUNT.

[Legal](#) | [Privacy](#)

Upon logging in, the Contractor will have immediate access to the project site and be able to process submittals.

2.2 Preparing a Submittal

The COMPASS S&T application is used to process any type of document throughout the duration of construction. Each submittal must contain documents of a related subject matter. For example, a submittal may contain only Bridge Shop Drawings, or only Highway Shop Drawings, but not both. A submittal can contain a single document or multiple documents.

Submittal documents are to be formatted and digitally signed according to CTDOT standards, as described below. The instructions contained herein supersede the submittal **routing** process described in other manuals and instructions; project submittals are to be routed via COMPASS.

2.2.1 Submittal Format

2.2.1.1 Shop Drawings

1. Sheets shall be sized ANSI D (34 in. x 22 in.) and be combined into (1) multi-page PDF file.
2. Submittal files shall be named per DOT Construction.
3. Each sheet shall have a border, title block and a rectangular box, 2.25 in. wide x 1.75 in. high, in the lower right hand corner for the action stamp.
4. The minimum text height and width on sheets shall be 0.125 in.

5. All letter characters shall be uppercase.
6. All sheets shall be submitted in black and white.
7. Sheets shall be searchable.
8. If a submittal needs to be resubmitted, the new submittal will include all of the sheets from the previous revision that were stamped No Exceptions Noted or Exceptions as Noted along with the new sheets that were required to be resubmitted.

*****Guidance for the number of printed hard copies will be provided by the Construction District Office for inspection purposes. Sheet sizes shall be in the format described above.***

2.2.1.2 Product Data

1. Sheets shall be sized ANSI A (8.5 in. x 11 in.) and be a single multi-page PDF file.
2. Submittal files shall be named per DOT Construction.
3. Marked to indicate applicable choices and options.
4. Where non-applicable information and products are included, notations shall be made to clearly delineate applicable from non-applicable information.
5. Readily legible.
6. Include the following information and confirmation of conformance with the Contract to the extent applicable:
 - a. Manufacturer's printed recommendations
 - b. Compliance with recognized trade association standards
 - c. Compliance with recognized testing agency standards
 - d. Application of testing agency labels and seals
 - e. Notation of coordination requirements
 - f. Contract item number
 - g. Any other information required by the individual Contract provisions
7. If a submittal needs to be resubmitted, the new submittal will include all of the sheets from the previous revision that were stamped No Exceptions Noted or Exceptions as Noted along with the new sheets that were required to be resubmitted.

*****Guidance for the number of printed hard copies will be provided by the Construction District Office for inspection purposes. Sheet sizes shall be in the format described above.***

2.2.1.3 Working Drawings

Working drawings shall conform to the following requirements:

1. Sheets shall be sized ANSI D (34 in. x 22 in.) and be in a single multi-page PDF file.
2. Each sheet shall have a border, title block and a rectangular box, 2.25 in. wide x 1.75 in. high, in the lower right hand corner for the reviewer's stamp.
3. The minimum text height and width on sheets shall be 0.125 in.
4. All letter characters shall be uppercase.
5. Sheets shall be searchable.
6. All sheets shall be submitted in black and white.
7. The first sheet shall include the Contractor's designer's Professional Engineer's digital signature, meeting the requirements of Adobe's Certified Document Services (CDS) or Adobe's Approved

Trust List (AATL), and all other sheets shall include a watermark of the Professional Engineer's stamp in a common area of the border.

8. Calculations shall be sized ANSI A (8.5 in. x 11 in.) and be in a single PDF file.
9. The first sheet of calculations shall include the Contractor's designer's Professional Engineer's digital signature meeting the CDS or AATL requirements.
10. Supporting Documentation shall be in a PDF separate from the drawings and calculations.
11. Submittal files shall be named per DOT Construction.
12. If a submittal needs to be resubmitted, the new submittal will include all of the sheets/documents from the previous revision that were stamped No Exceptions Noted or Exceptions as Noted along with the new sheets/documents that were required to be resubmitted. All submittals, including resubmissions, are to be digitally signed as discussed below.

*****Guidance for the number of printed hard copies will be provided by the Construction District Office for inspection purposes. Sheet sizes shall be in the format described above.***

2.2.1.4 Landscape Submittals

Overview

In order to improve the accuracy and turnaround time of landscape related Contractor submittals, Landscape Submittal Templates and the COMPASS submittal type 'Landscape Submittals' have been created. Fillable Landscape Submittal Template forms can be found in the Appendix at the end of this document.

Note: Only items listed under 'Landscape Items' on the Contracts Detailed Estimate Sheet shall utilize the Landscape Submittal Templates and be submitted as a 'Landscape Submittals' submittal type.

The following Landscape Submittal Templates are available for Contractor use:

1. Plant Material Submittal Template
2. Request for Substitution of Plant Material Submittal Template
3. Supplemental Landscape Item Submittal Template
4. Landscape Seeding Submittal Template

All Landscape Submittals shall be uploaded to COMPASS using the submittal type 'Landscape Submittals' with the exception of any requests for change (request for substitution of plant material) which shall be uploaded as an RFC submittal type.

Submittal Type:

Landscape Submittals

Filling Out the Landscape Submittal Templates

All Landscape Submittals

Each Landscape Submittal will begin with general information about the project and the contractor(s) and should be filled out as shown in the example below:

1. Plant Material Submittal Template

All plant material items may be included in a single submittal for the project, or in a single submittal for each planting season. Information in the Plant Material Submittal template includes the Plant Material Source of Supply, as well as all other materials required by the pay item as specified by the contract specifications.

If the Contractor is unable to source any of the plant items, an RFC Plant Material Submittal Template shall be submitted and approved prior to this submittal.

The Plant Material Submittal Template includes the following sections:

- A. Plant Material Cover Sheet
- B. Plant Material Source of Supply
- C. Planting Soil
- D. Fertilizer
- E. Mulch
- F. Tree Stakes

A. Cover Sheet

The cover sheet contains general information about the project and Contractor(s), and an affidavit which should be completed by the Contractor. The rest of the form will be used by the department to track the status of the multi-page submittal.

B. Plant Material Source of Supply

The Contractor shall complete one sheet for each plant material supplier being used, and on each sheet shall specify:

- Supplier information: name, address, a contact representative for the supplier and their phone number
- Attached copies of the suppliers Certificate of Inspection issued by federal or state authorities which attest to the plant materials freedom from diseases and insect infestations.
- Item number, item description, and item quantity of the items being sourced from that supplier.

C. Planting Soil

Provide the manufacturer, supplier, and quantity of, and attach a certified test report for both compost and peat moss which is to be used for the creation of the planting soil being provided for the installation of plant material within the submittal.

D. Fertilizer

Provide the grade of fertilizer to be used, and provide the Guaranteed Analysis of the product, or attach a copy of the product label clearly showing such information. Also provide the fertilizer manufacturer, supplier, and the quantity to be used in association with the plant material within the submittal packet.

E. Mulch

Provide the mulch product type and name, particle size and color, as well as the manufacturer, supplier, and quantity to be used in association with the plant material within the submittal template.

F. Tree Stakes

Provide a written description of the materials to be used for tree staking and the intended installation method. A copy of the manufacturer's installation instructions may supplement a written description of the installation method. The products manufacturer, supplier, and number of trees to be staked shall also be provided. Trees under 2" caliper require a minimum of two stakes each, and trees larger than 2" in caliper require a minimum of three stakes each, unless otherwise specified in the contract.

2. Plant Material Request for Substitution Submittal Template

Use this template for any plant materials in which the plant species in the contract is unable to be sourced or the contractor is requesting a substitution for any other reason. One submittal template must be filled out each item being requested for substitution.

All Plant Material Request for Substitution Submittals shall be uploaded to COMPASS under the submittal type "RFC".

The information provided on each Plant Material Request for Substitution Submittal Template shall include:

- Original Contract item information: Provide the item number, description, plant size, and quantity of the original contract item that is being requested for substitution.

- Reason for the request for substitution: If the item was found to be unavailable in the region, check the corresponding box. If requesting the substitution for any other reason, check the second box and provide an explanation for the request.
- Attempted sources: Identify A minimum of 3 sources/vendors which were unable to supply the original contract item.
- Proposed Substitution: Identify any proposed plant species for the substitution (optional)
- Identify any changes in cost for the substituted item.

3. Supplemental Landscape Item Submittal Template

Provide the general information about the project and contractor(s), and complete the affidavit attesting to the items' conformance to the contract specifications. Also provide the item number and name, and the quantity if applicable. Provide any other information required by the specification in the space provided or attach additional sheets.

4. Landscape Seeding Submittal Template

Provide the general information about the project and contractor(s), and complete the affidavit attesting to the items' conformance to the contract specifications. Provide the item number, name, and the quantity of the seed mixture to be used. Also provide an attachment from the supplier stating the seed mixture components and their purity rate by percent of mass, germination rate, and origin of each species in the mix. Also provide any other information required by the specification as attachments.

2.2.2 Digital Signature Requirements

A digital ID must be purchased in order to apply a digital signature. Digital ID's must meet the specifications of Adobe's Certified Document Services (CDS) or Adobe Approved Trusted List (AATL). The necessary hardware and software needed to apply the required digital signatures may be purchased from the list provided at the following websites:

- CDS: http://www.adobe.com/security/partners_cds.html
- AATL: <https://helpx.adobe.com/acrobat/kb/approved-trust-list2.html>

A graphic appearance must be attached to a digital signature when signing documents. The following section shows the graphic appearance requirements when signing as a Professional Engineer (PE) and when signing as a non-PE. For Working Drawings, two graphic appearances must be created. One is an appearance of the PE stamp, which will be attached to the digital signature. The other appearance shall be the PE stamp along with the firm's address and be used as a watermark that shall be placed in the border of all working drawings. Documents such as letters and other correspondence from the Contractor shall be digitally signed in accordance with this publication.

2.2.2.1 Graphic Appearance of the Digital Signature

Two graphic appearances, one of the Engineer's PE stamp and one with the Engineer's PE stamp and company address must be created in accordance with the following. One will be used as the appearance of the digital signature and one will be used as a watermark that is to be placed on all Working Drawings.

The graphic signature that accompanies the digital signature only needs to include the designer's signature and PE stamp, and shall be created as follows:

1. Stamp and sign a blank piece of paper.
2. Scan the signature.
3. Crop the image to approximate 250 pixels wide by 250 pixels high.
4. Save the image as a PDF on a computer or server where it can be easily accessed for later use in the signature set-up procedure.



Figure 1: Example of Consultant Engineer Graphic Image of Signature - applied with digital signature to first page only

2.2.2.2 Graphic Appearance Used as a Watermark

In addition to the designer's signature and PE stamp, the graphic signature that is placed as a watermark shall also include the designer's company name and address, and shall be created as follows:

1. On a blank paper piece of paper, print company name and address.
2. Place PE stamp next to company name and address.
3. Sign PE stamp.
4. Scan the image created in steps 1 through 3.
5. Crop the image to approximately 500 pixels wide by 250 pixels high.
6. Save the image as a PDF on a computer or server where it can be easily accessed for later use in the watermarking procedure.



Figure 2: Example of Consultant Engineer Graphic Image of Signature - applied to all pages as a watermark

Once the graphic images have been properly created and saved, the digital signature appearance preferences must be set as follows:

2.2.2.3 Regular Signer – Graphic Appearance of the Digital Signature

The following graphic appearance shall be used when signing as a regular signer. This appearance will be used for signing letters and other types of documents.

The graphic signature appearance shall be created as follows:

1. Signer must sign a blank piece of paper.
2. Scan this signature.
3. Crop the image so that the image is approximate 300 pixels wide by 100 pixels high.
4. Save the images as PDFs on a computer.



Figure 3: Example of a Graphic Image of Signature - used with digital signature

2.2.2.4 Setting Up the Appearance of a Digital Signature

To set-up the appearance of a digital signature:

1. Launch Bluebeam.
2. Make sure the USB token that has your digital signature on it is inserted into the computer. Then in Bluebeam go to the Document tab and select Signatures → Digital IDs.

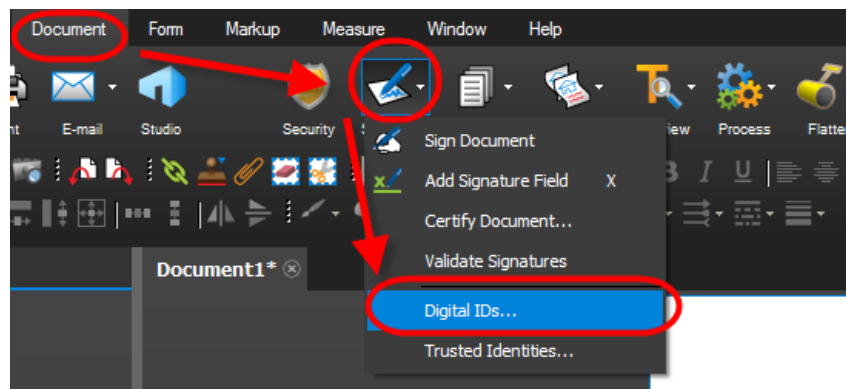


Figure 4: Digital Appearance

3. Click on your ID and click Manage Appearances

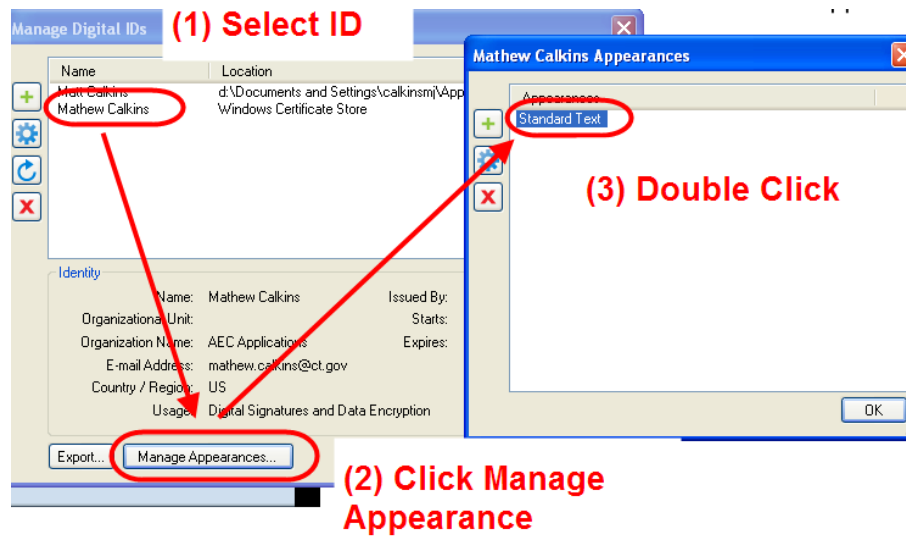


Figure 5: Manage Appearance

4. Next follow the figure below to add the applicable graphic appearance and set the correct settings:

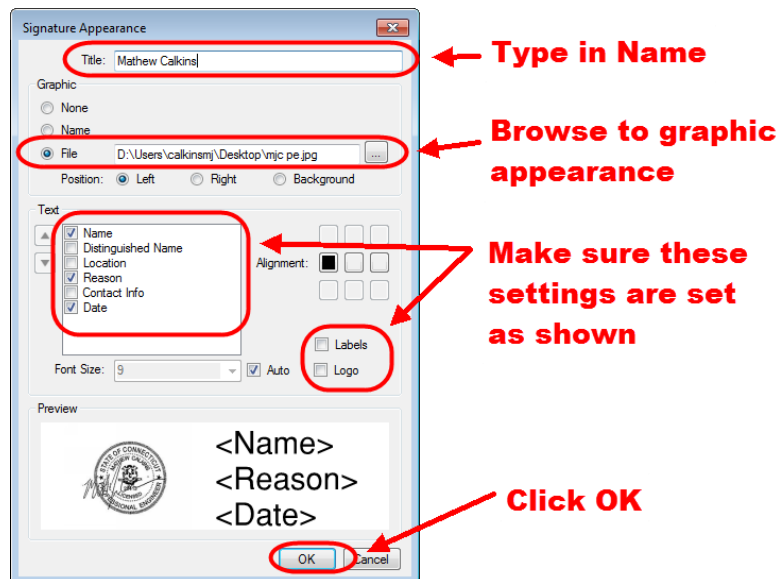


Figure 6: Setting the Digital Appearance

5. Now the digital appearance will be saved and can be used to digitally sign.

2.2.2.5 Digitally Signing

The digital signature must be applied to the Working Drawings, calculations and other documents in accordance with the following:

The following settings must be selected when digitally signing:

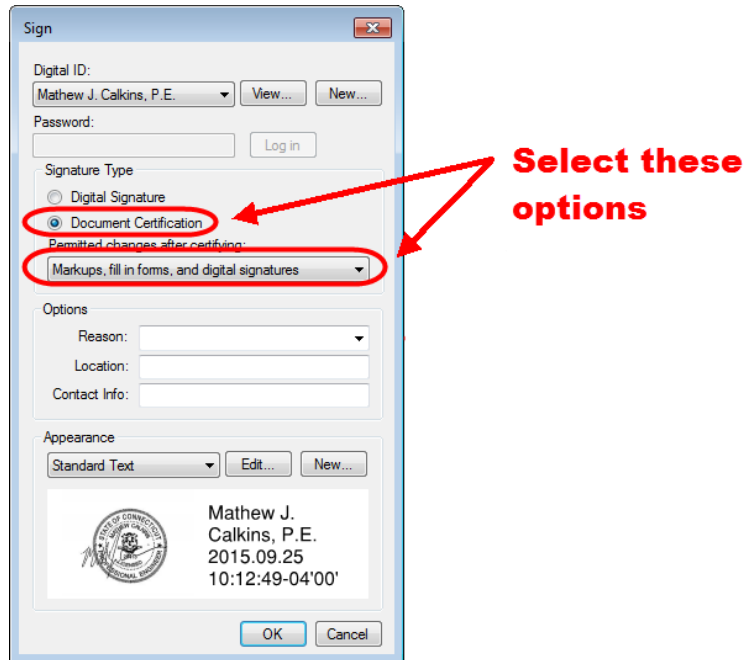


Figure 7: Digitally Signing

The following are examples of Working Drawings and calculations that have been digitally signed:

2.2.2.6 Working Drawing Plans

The first plan sheet in the submittal shall have a digital signature and a watermark placed on it as shown below. All other sheets will only have the watermark. A place in the border of the plan sheets shall have a spot for this watermark.

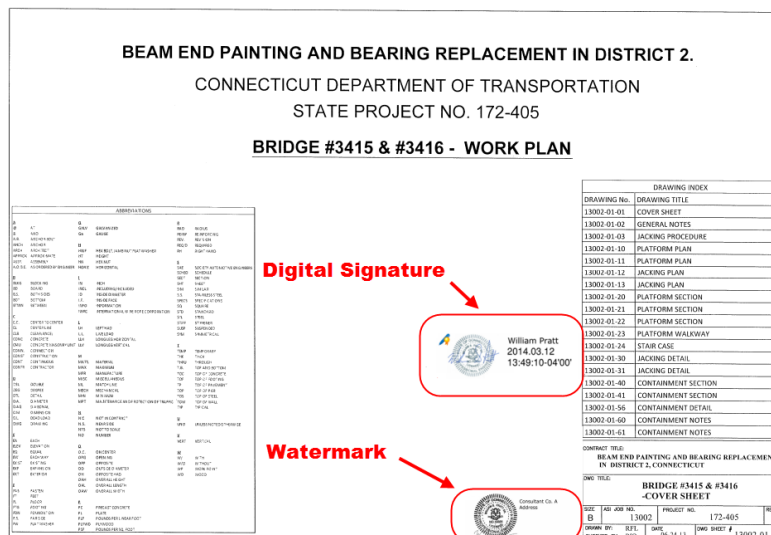


Figure 8: Working Drawing for Permanent Structures

2.2.2.7 Working Drawing Calculations

The first sheet of the calculations shall have a digital signature as shown below:

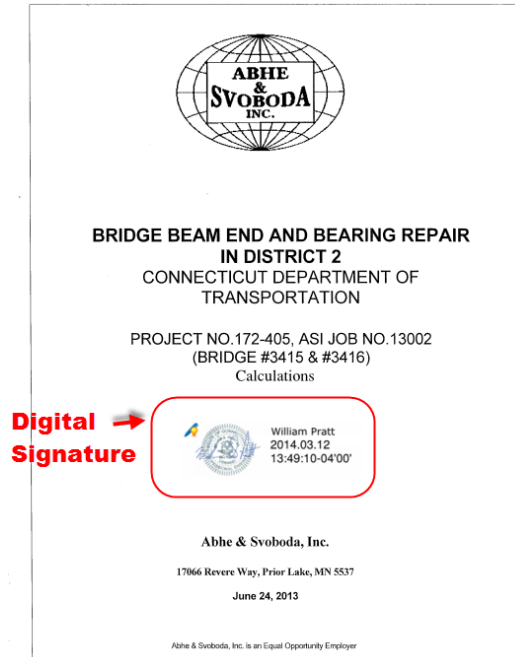


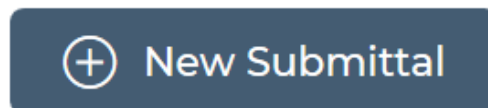
Figure 9: Working Drawing for Permanent Structures

2.3 Creating a New Submittal in COMPASS

The COMPASS S&T application is used to process any type of document throughout the duration of construction. Each submittal must contain the same type of document. For example, a submittal may contain only Bridge Shop Drawings, or only Highway Shop Drawings, but not both. A submittal can contain a single document or multiple documents. ***For Facilities projects and [Landscape Submittals](#), please see the Appendix at the end of this document.***

To create a new submittal in COMPASS:

1. Log-in to COMPASS.
2. Select New Submittal on the Submittals/Transmittals page.



3. The Submittal window opens. Complete the appropriate form details:
 - a. **Submittal Name:** Follow any recommended [Naming Conventions](#) prescribed by CTDOT Construction.
Note: Submittal and file names should not exceed 50 characters in length.
Characters include letters, numbers, symbols and spaces.
Note: Submittal and file names should not contain any of the following restricted characters: ~ “ # % & * : < > ? / \ { | }

- b. Item Number (optional): Select one or more Item Numbers associated with the submittal. If the Item Number is not listed, follow DOT Construction District guidance on adding a new number. If the Contractor is instructed to add the new number, take the following steps:

The screenshot shows a 'Details' form with a 'Submittal Name' field and an 'Item Number' field. The 'Item Number' field is labeled '- not required'. Below the field is a button with a plus sign and the text '+ Add Item Number'. A red arrow points from the text '1. PRESS TO ADD A NEW ITEM NUMBER IF IT IS NOT ALREADY CONTAINED IN THE LIST.' to the '+ Add Item Number' button.

The screenshot shows a modal form titled 'Add New Item Number'. It contains the following fields and instructions:

- 'All fields are required.'
- 'Item Number: required' field with a red arrow pointing to it and the instruction '2. INPUT THE NEW ITEM NUMBER'.
- 'Item Number Description:' field with a red arrow pointing to it and the instruction '3. INPUT THE ITEM NUMBER DESCRIPTION'.
- 'Submit' and 'Cancel' buttons. A red arrow points from the text '4. PRESS SUBMIT TO ADD THE NEW NUMBER AND DESCRIPTION TO THE DROP-DOWN LIST.' to the 'Submit' button.
- 'Mark if this is Urgent' checkbox with the label 'Urgent'.

- c. Submittal Type: Select the appropriate submittal type. This selection will determine to whom the submittal will be routed, based on the project Approval Matrix. It is important to select the correct Submittal Type to ensure there is no delay in routing the submittal to the appropriate person. The project's Contractor Submittal List is stored in the Contract

Documents → 110_Contract_Documents folder to help provide guidance on Submittal Type selection.

- d. **Urgent box (optional):** ***The urgent box should be used sparingly.*** All submittals marked as urgent will be pinned to the top of the Submittals/Transmittals table. Marking this box does not modify any contractual obligations. This box can be used to highlight a submittal that would benefit from an expedited review.
4. Once the submittal form is prepared, drag the file(s) into the Attach File(s) box or left click and Browse to select file(s). Once attached, the file name can be edited if needed. Press Submit when all Submittal information is complete.
Note: Submittal and file names should not exceed 50 characters in length. Allowable characters include letters, numbers, symbols and spaces. Restricted characters are ~ “ # % & * : < > ? / \ { | } and should not be part of the submittal and file name.
Note: The maximum size of an individual files is 250 MB. Files in excess of 250 MB can be broken into separate file attachments and included in the same submittal.
5. The submittal owner and any members of the optional CC list will receive an email notification regarding the new submittal. The submittal will populate in the Submittals/Transmittals table, showing the submittal name, type and item number (as inputted by the Contractor). The Review Status will show as Process Assignment with the Ball-In-Court assigned to the submittal owner.

2.4 Submittal Owner

When a new submittal is created, the submittal owner is assigned based on the Approval Matrix. For example, if the Contractor selects Shop Drawing – Bridge as the Submittal Type, then the person assigned to review Shop Drawing – Bridge in the Approval Matrix for the given project will be assigned as submittal owner. The submittal owner is responsible for reviewing the submittal, assigning additional reviewers (optional), setting due dates in conformance with any contractual obligations, providing any feedback to the Contractor and completing the submittal process.

2.5 Review Process

The individual assigned as submittal owner is responsible for completing the Submittal Process Assignment page. The submittal owner will assign reviewers and due dates, as needed.

2.5.1 Incomplete Submission

If the Department deems a submittal incomplete or unacceptable, the submittal owner will return the submittal to the Contractor before beginning a review session. When a submittal is returned as incomplete, the submittal has not been entered into DOT processing; the review process and any associated timeframe requirements have not begun. The Ball-In-Court will list the Contractor and the Review Status will be Revise and Resubmit.

Reasons for returning an incomplete submittal before beginning a review session may include, but are not limited to:

- Submittal form incorrectly filled out (e.g., incorrect Submittal Type or Item Number is selected)

- Required digital signatures / contractual obligations are missing
- Submittal Type incorrectly selected, causing the submittal to route to the incorrect approving party

Below is a sample email notification sent to the Contractor when a submission is incomplete. Specific comments prepared by the Owner / Reviewer will populate in the email notification.

The submittal titled Test for incomplete needs to be revised and resubmitted for the following reasons:

This' submittal is incomplete.

Please take corrective action identified in the Comments and resubmit.

Click the link below to view the submittal:

<https://ctgovdot.sharepoint.com/sites/dev/Projects/0171-0417/Pages/Submittals.aspx?routeid=304>

Submittal details

Submittal Name: Test for incomplete
Project: '0171-0417'
Purpose: Revise and Resubmit
Content: 0 Shop Drawing - Bridge
When Submitted: 1/24/2019 12:00:00 AM

EMAIL NOTIFICATION INFORMING
 CONTRACTOR THAT A
 SUBMITTAL IS INCOMPLETE

See [the Replace File section](#) for instructions on how to replace an incomplete submittal.

2.5.2 Revise and Resubmit

The Revise and Resubmit button in COMPASS is not to be confused with the Department's disposition, as communicated through the Digital Review and Action Stamps. The nomenclature in COMPASS indicates the submittal review status, **not** the Department's disposition.

The submittal owner will select the Revise and Resubmit button if there is further action that the Contractor needs to take before the submittal can be completed. The submittal owner will provide comments via the COMPASS notification email and / or via mark-ups or file attachments in the actual submittal document(s). When the submittal owner selects the Revise and Resubmit button, the Ball-In-Court will update to the Contractor, with a Review Status of Revise and Resubmit in the Submittals/Transmittals table.

The Contractor is responsible for reviewing all comments and mark-ups and resubmitting the document(s) as needed. If the submittal owner returns a shop drawing submittal with different dispositions stamped on each sheet, the Contractor shall revise individual sheets as needed. When the replacement document is ready to submit, the Contractor shall combine the approved sheets and replacement sheets into one file in the correct order. Revised Working Drawings are to be signed before resubmitting as described in [Digital Signature Requirements](#).

The Revise and Resubmit function can be used multiple times, if needed, for a given submittal.

2.5.3 Revising and Replacing a File

When a submittal is returned to the Contractor as Revise and Resubmit, the Contractor is responsible for opening the document, reviewing all email comments and mark-ups, and responding according to current business processes.


2.5.3.1 Opening and Downloading a File

To open a file, navigate to the appropriate submittal in the Submittals/Transmittals table. Select the hyperlink in the submittal or review status column. The review status will be Revise and Resubmit; the Ball-In-Court will list the Contractor's user name.

SUBMITTAL	SUB TYPE	ITEM NO.	REVIEW STATUS
Shop drawing highway test	Shop Drawing - Highways	0202000 0090693 0101050	Revise and Resubmit

SELECT SUBMITTAL NAME OR REVIEW STATUS (REVISE AND RESUBMIT) TO VIEW DOCUMENT

When the hyperlink is selected, the Submittal window will appear. A table will list the documents contained in the submittal:

DOCUMENT(S)	
Filter By	Actions
<input type="checkbox"/> NAME	BLUEBEAM
<input type="checkbox"/> directions.pdf 	Not In-Session

1 to 1 of 1 | < < Page 1 of 1 > >

Click the document name to view the document and any comments or stamps placed by the Department.

If the document is a PDF, it will appear in a PDF viewer. From the PDF viewer, the document can be downloaded and saved to the Contractor's preferred location (e.g., desktop, server, drive, etc.) Examples of how to save from the PDF viewer are shown below. The exact appearance and method of downloading the file vary by browser.



2.5.3.2 *Revising a File*

The Contractor is responsible for reviewing all comments provided via email and document mark-up and revising the submittal document(s). The Contractor should not revise any pages or sheets that have been stamped No Exceptions Noted or Exceptions as Noted by the Department.

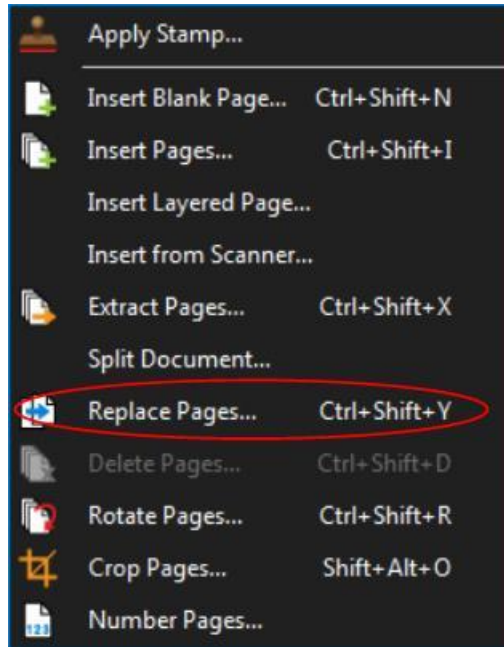
2.5.3.3 *Shop Drawings, Working Drawings and Product Data*

Shop drawings, working drawings and product data shall be formatted and digitally signed in conformance with the current requirements as discussed in [Preparing a Submittal](#).

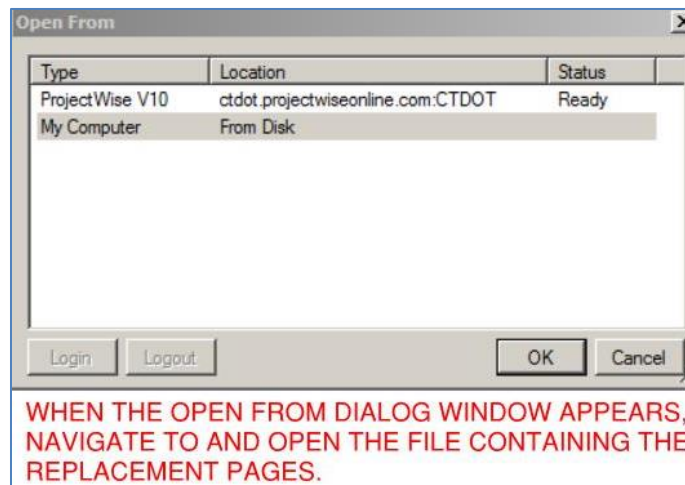
If the submittal owner returns a shop drawing, working drawing or product data submittal with different dispositions stamped on each sheet, the Contractor shall revise individual sheets as needed. Consistent with current business processes, the Contractor shall only make modifications to sheets stamped Revise and Resubmit or Rejected; the Contractor shall not revise any pages or sheets that have been stamped No Exceptions Noted or Exceptions as Noted by the Department.

When the replacement document is ready to submit, the Contractor shall include all of the sheets from the previous version that were stamped No Exceptions Noted or Exceptions as Noted along with the new sheets that are required to be resubmitted. Revised Working Drawings are to be signed before resubmitting as described in [Digital Signature Requirements](#).

For example, to combine approved and replacement sheets using Bluebeam Revu, open the document that was downloaded from COMPASS. Go to Document → Replace Pages, or press CTRL + SHIFT + Y.



An Open From dialog window will appear. Navigate to and select the file that contains the replacement pages.




If the replacement pages are contained in separate files, the above process can be repeated until the new document is compiled, with pages in the correct order.

2.5.3.4 Replace File

When the replacement document is prepared, the Contractor should:

1. Navigate to the appropriate submittal page and click the Replace file button. This is the red button located to the right of the file name. **Note: The Contractor should not respond to a Revise and Resubmit by attaching a new document in the Attach File(s) window:**

DOCUMENT(S)		
Filter By	Actions	
<input type="checkbox"/> NAME		BLUEBEAM
<input type="checkbox"/> directions.pdf		Not In-Session

SELECT TO REPLACE FILE (arrow pointing to the Replace File icon)

Attach File(s):

Drag 'n' drop some files here, or click to select files

Do not replace by attaching a new file marked as Rev 1, Rev 2, etc. (arrow pointing to the dashed box)

2. A Replace Document window will appear. Select the correct document to upload, then press the Submit button. The replacement document does not have to match the original file name; it can have any name necessary based on the Contractor's naming conventions (e.g., Rev. 1, etc.). **The file name in COMPASS remains the same, regardless of the name of the replacement file.**

Replace Document

Replacing: directions.pdf

Drag files to upload, or click to select files manually.

Submit

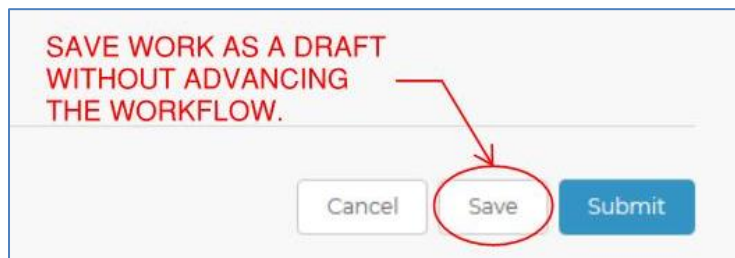
Cancel

3. If more than one file in a given submittal is to be replaced, press the Replace File icon next each document and repeat the process described above. Ensure that the correct replacement file is uploaded to replace the corresponding original document in COMPASS.
4. Press Submit to complete the R&R process. COMPASS automatically saves the replacement file in the original document's version history (visible only to the CTDOT and consultant project team members). The Ball In Court will return to the submittal owner.



2.6 Save a Draft

Users have the option to save their work as a draft without advancing the workflow. In the Process Assignment and Submittal windows, if the Save button is selected the user's work will be saved as a draft. In the Submittals/Transmittals table, the Review Status will show as Draft. The Ball-In-Court will remain with the user who selected save.



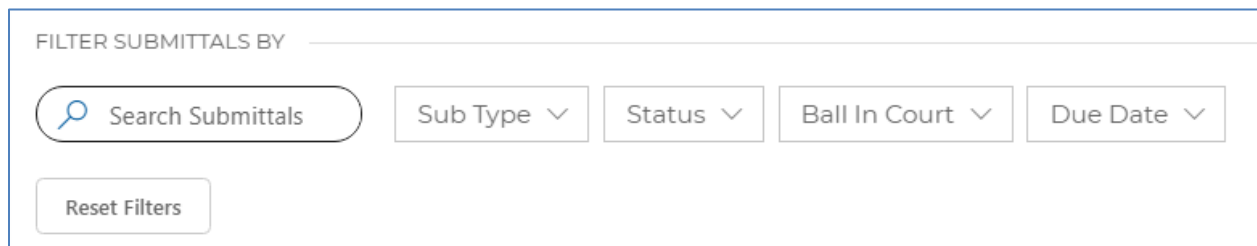
2.7 Ball-In-Court Status

The Submittals/Transmittals (S&T) table contains a Ball-In-Court column that automatically updates throughout the workflow. The Ball-In-Court will list one or more individuals at a given time during the review process. Once the submittal is complete, the Ball-In-Court field is blank. The Contractor should review the submittal when the status is Complete to assess the Department's disposition. All project staff, including Contractors, are responsible for monitoring the Submittals/Transmittals table regularly.

2.8 Navigating the S&T Table

The contents of the S&T table can be searched, filtered and sorted for ease of use.

To search or filter, enter key words from submittal names in the search field, or select option from the various drop-down boxes. Press the Reset Filters button to clear all search and filter results.



To sort columns, select the arrow to the right of each column heading. Columns can be sorted in ascending or descending order.

SUBMITTAL	SUB TYPE	ITEM NO.	REVIEW STATUS	BALL IN COURT	SUBMITTAL ...	FINAL DUE DATE	PHASE
-----------	----------	----------	---------------	---------------	---------------	----------------	-------


2.9 Comments

In addition to marked-up documents, comments provided by the reviewer will be sent to the Contractor via COMPASS email notification. The Contractor is expected to read all COMPASS email notifications to ensure comments are reviewed and addressed.

2.10 Correspondence to Contractor

The Department may elect to send correspondence to the Contractor via COMPASS. If this occurs, an email notification will be sent to the Contractor. In the S&T table, the Ball In Court will show the Contractor's name and the Submittal Type will list as Correspondence to Contractor. The Contractor should take the following actions to complete the workflow:


1. The assigned Contractor will receive an email notification. The S&T table will update to a Review Status of "In Review" and list the assigned Contractor as Ball In Court.

SUBMITTAL	SUB TYPE	ITEM ...	REVIEW STA...	BALL IN COU...
 Instructions	Correspondence to C...		In Review	Wanda Vision
1 of 2				

2. The Contractor can view the correspondence by clicking on the document name.

DOCUMENT(S)				
Filter By	Actions			
<input type="checkbox"/> NAME	REVIE...	CONTRIBUTOR	BLUEBEAM	
<input type="checkbox"/> Instructions.pdf	Not Revi	Lofberg, Lynne / Transportation Engineer 3	Not In-Session	

3. The Contractor will press the Complete button to serve as confirmation of receipt. Press the blue Submit button in the pop-up window that appears; no comments are required.

SUBMITTAL REVIEWER(S)				
NAME	DUE DATE	STATUS	COMPLETE DATE	ORDER
 Wanda Vision / No Title	03-24-2021	Not Complete	NA	1
Lofberg, Lynne / Transportation Engineer 3	03-25-2021	Not Complete	NA	2

Submittal Review Comment

Please enter any comments you have.

Comments

Submit

Cancel

4. After the Department completes the workflow, Contractors can access the correspondence in the Contractor Documents → 125_Completed_Submittals folder.

Project No. 0055-0130

Temp ID. PP000-0000

Schedule Phase: Completed

Contacts

Contract Documents

Contract Documents			
	Name ▾	Modified ▾	Modified By ▾
	100_Contract_Plans (PDF)	January 29, 2020	SharePoint App
	110_Contract_Documents	January 29, 2020	SharePoint App
	125_Completed_Submittals	June 30, 2020	SharePoint App
	130_Final_Engineering_Reports	January 29, 2020	SharePoint App
	160_Project Photos	December 16, 2020	SharePoint App

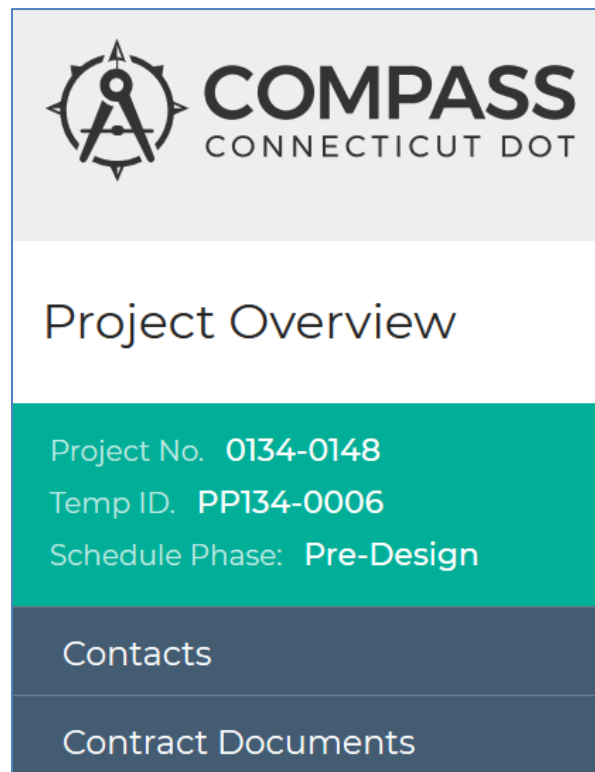
2.11 Project Menu

The Project Menu – located on the left side of Dashboard and Details pages – is comprised of the following sections:







- Contacts: The Contacts folder can be used to add contact information for project staff, stakeholders, contractors, agencies or other relevant users.
- Contract Documents: The Contract Documents library contains five folders to which all users with access to the project, including Contractors, have access.

<u>Folder Name</u>	<u>Contents</u>
100_Contract_Plans (PDF)	Project contract plans
110_Contract_Documents	Project contract documents Contractor Submittal List
125_Completed_Submittals	Completed contractor submittals Completed Correspondence to Contractor documents
130_Final_Engineering_Reports	Final Engineering Reports
160_Project Photos	Project photos and videos <i>Contractors may upload project photos and videos to this folder, if needed.</i>

When a selection is made from the Project Menu, a new window will automatically open to provide the information. For example, if the Contract Documents library is selected, it will open in a new browser window.



Contract Documents

 Name ▾	Modified ▾	Modified By ▾
 100_Contract_Plans (PDF)	April 17	SharePoint App
 110_Contract _Documents	April 17	SharePoint App
 125_Completed_Submittals	June 9	SharePoint App
 130_Final _Engineering_Reports	April 17	SharePoint App
 160_Project Photos	April 17	SharePoint App

Section 3 Best Practices

3.1 Business Processes

All project staff – including Contractors – should monitor their COMPASS accounts daily to assess Ball-In-Court statuses and ensure there is no lag in reviewing and routing submittals.

3.2 Naming Conventions

File names should not exceed **50 characters** in length. Characters include letters, numbers, symbols and spaces. Submittal and file names should not contain any of the following restricted characters:

~ “ # % & * : < > ? / \ { | }

Submittal names should accurately describe the contents of the submittal.

Individual file document names should be in the following format:

Project Number [#####-#####] Submittal Type [WD, SD, RFI ###, RFC ###, etc.] [Description]

Examples:

1234-5678 WD Access Platform

1234-5678 SD Exodermic Precast Panel

1234-5678 RFI 001 Structural Steel

1234-5678 Letter from Smith to Jones Winter Work

3.3 Revise and Resubmit Comments

When returning a submittal as Revise and Resubmit, the submittal owner may provide comments and direction to the Contractor. The Contractor is responsible for reviewing all comments provided in the COMPASS email notification and in the marked-up documents, as applicable.

3.4 Urgent Box

The Urgent Box should only be checked for the following reasons:

- Submittal impacts schedule and the Contractor would like to reduce the contractually obligated review period. ***Note: Clicking the urgent box does not reduce contractual obligations but serves as a non-binding request to expedite the review process.***
- The urgent submittal needs to be advanced to the top of the Submittals/Transmittals table.

Section 4 Frequently Asked Questions

4.1 Computer Requirements

4.1.1 Devices

COMPASS can be accessed through a desktop computer, laptop computer, tablet or mobile phone. The device must have internet access.

4.2 Maximum File Size

SharePoint has a soft maximum file size of 250 MB. If a document exceeds this maximum, the user can break it up into multiple documents contained within the same submittal.

4.3 COMPASS Access Troubleshooting Tips

Below is a list of troubleshooting tips for users to implement if problems are encountered when trying to access COMPASS:

- Confirm the user has the proper permissions to access the project.
- Confirm the correct log-in name and password are used.
- Completely sign out of Office 365 and COMPASS, then log back in.
- Press CTRL+F5 to perform a hard refresh on the page.
- Delete the browser history and cache.
- Verify with local IT support that there are no firewalls, securities or other issues that would interfere with connecting to COMPASS.
- Attempt access using more than one web browser.

4.4 Delete a Submittal

Q: I accidentally submitted the wrong document to COMPASS. Can I delete the submittal?

A: Contact the project PM make any requests for deletion.

4.5 Email Address Change

Q: I received an email invitation to join a COMPASS project and set-up my account with an email address. Now I need to change my email address used to access the COMPASS project site. What is the process for doing this?

A: The Contractor should contact the project Construction PM and request a new invitation.

Section 5 Data Dictionary

5.1 Submittals/Transmittals Table

COLUMN HEADINGS	
<u>Column</u>	<u>Description</u>
Submittal	Contractor enters manually in the “Submittal Name” field on the Document Submittal Page
Sub Type	Contractor selects from “Submittal Type” drop-down list on the Document Submittal Page
Item No.	Optional. Contractor selects from “Item Number” project-specific drop-down list on the Document Submittal Page. One or more items can be selected.
Review Status	Updates automatically. Identifies status of the submittal in the workflow. Does not provide the Department’s disposition on the submittal or the documents contained therein.
Ball In Court	Updates automatically. Identifies the person(s) responsible for taking the next action in the workflow.
Submittal Date	Auto-populates when the submittal is first initiated.
Resubmitted Date	Updates automatically. Identifies most recent resubmittal date, if applicable.
Final Due Date	Owner sets Due Date on the Process Assignment Page
Reminder Date	Owner sets Reminder Date on the Process Assignment Page
REVIEW STATUS COLUMN	
<u>Status</u>	<u>Description</u>
Process Assignment	First status to appear after a new submittal is added. Based on the Approval Matrix, COMPASS automatically assigns the submittal owner to set-up the review process and schedule.
In Review (# of #)	Shows that the submittal is in review and identifies number of steps in the review series. Submittal Owner is the final reviewer by default.
Revise and Resubmit	Alerts Contractor to comments. Contractor to review email comments and/or marked-up documents, revise the submittal documents, then resubmit.
Send Back	Assigned reviewer declines the Owner’s review request and returns the submittal back to the Owner.
Complete	Review process is complete. Contractor to review comments and/or marked-up documents for the Department’s disposition.
Draft	A submittal is saved in draft form. The submittal has not been advanced in the workflow but is available for the user to edit and process.

Section 6 Support

For assistance with the COMPASS S&T application, please contact:

6.1 District COMPASS Representatives

District	COMPASS Rep.	Email	Phone
District 1	Sabrina Coffin Darlene Salokas	sabrina.coffin@ct.gov darlene.salokas@ct.gov	860-258-4668 860-258-4644
District 2	Jim Paul Matthew Collins	jim.paul@ct.gov matthew.collins@ct.gov	860-823-3269 860-823-3275
District 3	Steve Hebert Aliaksei Sidarenka	steven.hebert@ct.gov aliaksei.sidarenka@ct.gov	203-389-3154 203-389-3177
District 4	Shawn Beaulieu Jason Cichon	shawn.beaulieu@ct.gov jason.cichon@ct.gov	203-232-5786 203-591-3575
District 5	Jennifer Sweeney Edward Rivera	jennifer.sweeney@ct.gov edward.r.rivera@ct.gov	203-401-5170 203-401-5178
OOC	Doug Harz John Rorrio	douglas.harz@ct.gov john.rorrio@ct.gov	860-594-2681 860-258-4643

6.2 COMPASS Knowledge Center

Additional resources, including the most recent version of this manual, brief training videos (1-4 minutes each) and a link to the COMPASS Support Desk can be found on the [COMPASS Knowledge Center](#) support page.

Appendix

**SUBMITTAL TRANSMITTAL FORM
FOR FACILITIES PROJECTS**

Submittal Transmittal Form

Project No.:

Description:

Contactor:			
Address:			
Telephone No.:			
Submittal No.:		CSI Spec or Special Provision No.:	

Contractor Certification: "Having reviewed this submittal, I certify that it is complete, accurate, coordinated in all aspects of the item being submitted and conforms to the requirements of the Contract in all respects, including all federal requirements such as 'Buy America', except as otherwise noted."

Name: Contractor Representative

--

Submittal Disposition Stamp

--

Comments:

Additional Submittal Disposition Stamps*

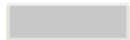
--

Comments:

--

Comments:

*- if necessary

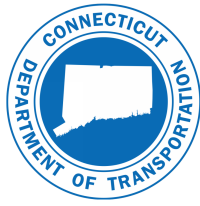
 -Contractor to populate.

Additional disposition stamps and/ or comments may be within submittal. Review complete returned submittal.

LANDSCAPE SUBMITTAL TEMPLATES AND SAMPLES



STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION



Landscape Submittal
LANDSCAPE SEEDING

Project Number: _____ Date: _____

Project Name: _____

General Contractor: _____

Landscape Contractor: _____

Submitter Name: _____

Submitter Email: _____

Submitter Phone Number: _____

I, _____ representative of _____ hereby
certify that the information submitted herein for review conforms to all aspects of the Contract,
including sections 9.49 and M.13 of The Standard Specifications for Roads, Bridges, Facilities
and Incidental Construction, Form _____ dated _____, Supplemental Specifications
dated _____, as well as Contract Special Provisions, and notes and other information on
the Contract Plans.

Supplemental Item Information:

Item Number: _____

Item Name: _____

Item Quantity: _____

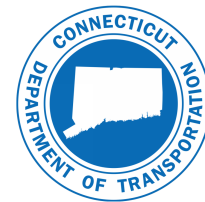
☐ Suppliers seed mix data attached

Department Response

	Comments:
--	-----------



STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION



Landscape Submittal
PLANT MATERIAL COVER SHEET

Project Number: _____ Date: _____

Project Name: _____

General Contractor: _____

Landscape Contractor: _____

Submitter Name: _____

Submitter Email: _____

Submitter Phone Number: _____

I, _____ representative of _____ hereby
certify that the information submitted herein for review conforms to all aspects of the Contract,
including sections 9.49 and M.13 of The Standard Specifications for Roads, Bridges, Facilities
and Incidental Construction, Form _____ dated _____, Supplemental Specifications
dated _____, as well as Contract Special Provisions, and notes and other information on
the Contract Plans.

(Department use only below line)

Disposition Summary of Materials in this Submittal:

Material:	Plant Source	Planting Soil	Fertilizer	Mulch	Tree Stakes
No Exceptions Noted:					
Exceptions as Noted:					

This submittal has been reviewed and is determined to be complete. The contractor may
submit a Request for Plant Material Inspection.

Signed: _____



STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION



Landscape Submittal
PLANT MATERIAL SOURCE OF SUPPLY

Plant material listed on this sheet is proposed to be sourced from:

Vendor: _____

Vendor Address: _____

Vendor Representative: _____ Phone Number: _____

☐ The vendor's Certificates of Inspection issued by Federal or State authorities (or both) which attest to the plant material's freedom from diseases and insect infestations is attached.

Plant Material:

<i>Item Number</i>	<i>Description</i>	<i>Size</i>	<i>Quantity</i>

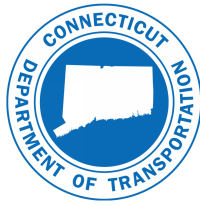
Following this page, insert a copy of the vendor's Certificates of Inspection issued by Federal or State authorities (or both) which attest to the plant material's freedom from diseases and insect infestations.

Department Response

	Comments:
--	-----------



STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION



Landscape Submittal
PLANTING SOIL

Amendments added to project topsoil to create planting soil:

1. 15% Compost

Manufacturer: _____

Vendor/Supplier: _____

Quantity: _____

☐ Certified Test Report attached.

Department Response

	Comments:
--	-----------

2. 10% Peat Moss

Manufacturer: _____

Vendor/Supplier: _____

Quantity: _____

☐ Certified Test Report attached.

Department Response

	Comments:
--	-----------



STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION



Landscape Submittal
FERTILIZER

Fertilizer Material:

Grade: _____

Guaranteed Analysis (or attach product label) :

Source:

Manufacturer: _____

Vendor/Supplier: _____

Quantity:

_____ lbs / tons

Department Response

	Comments:
--	-----------



STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION



Landscape Submittal

MULCH

Mulch Material:

Description (type/name): _____

Particle Size: _____

Color: _____

Source:

Manufacturer: _____

Vendor/Supplier: _____

Quantity:

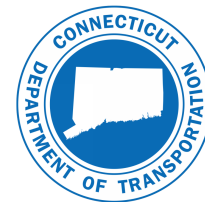
_____ s.y. _____ c.y.

Department Response

	Comments:
--	-----------



STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION



Landscape Submittal

TREE STAKES

Tree Staking Material:

Provide a description of all materials to be used for tree staking.

Attach manufacturer installation instructions or provide proposed installation method:

Source:

Manufacturer: _____

Vendor/Supplier: _____

Quantity:

Trees to be staked using 2 stakes/guys/anchors : _____

Trees to be staked using 3 stakes/guys/anchors : _____

Trees to be staked using other quantities: _____

Department Response

	Comments:
--	-----------



STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION



Landscape Submittal
SUPPLEMENTAL LANDSCAPE ITEM

Project Number: _____ Date: _____

Project Name: _____

General Contractor: _____

Landscape Contractor: _____

Submitter Name: _____

Submitter Email: _____

Submitter Phone Number: _____

I, _____ representative of _____ hereby
certify that the information submitted herein for review conforms to all aspects of the Contract,
including sections 9.49 and M.13 of The Standard Specifications for Roads, Bridges, Facilities
and Incidental Construction, Form _____ dated _____, Supplemental Specifications
dated _____, as well as Contract Special Provisions, and notes and other information on
the Contract Plans.

Supplemental Item Information:

Item Number: _____

Item Name: _____

Item Quantity: _____

☐ Suppliers seed mix data attached

Department Response

	Comments:
--	-----------



STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION



RFC

PLANT MATERIAL

Request for Change Number: _____

Project Number: _____ Date: _____

Project Name: _____

General Contractor: _____

Landscape Contractor: _____

Submitter Name: _____

Submitter Email: _____

Submitter Phone Number: _____

Original Contract Item:

<i>Item Number</i>	<i>Description</i>	<i>Size</i>	<i>Quantity</i>

Reason for request to substitute plant material:

☐ The material was found to be unavailable in the region. Inquiries were made to at least three sources in attempt to locate the material.

☐ Other: _____

Attempted Sources:

<i>Name</i>	<i>Address</i>	<i>Phone Number</i>	<i>Representative</i>

Proposed Substitution: *(Optional)*

<i>Description</i>	<i>Size</i>	<i>Quantity</i>

Change In Cost: Original Item Unit Price: _____ Proposed Substitution Unit Price: _____

Department Response:

	Comments:
--	-----------